

Attorney Docket No: U017 (BPAY.0010010)

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of Robinson et al.

Serial No.: 10/829,448

Examiner: Pierre Elisca

Confirmation No.: 6320

Art Unit: 3621

Filed: 4/22/2004

For: A SYSTEM AND METHOD FOR BIOMETRICALLY-INITIATED REFUND
TRANSACTIONS

Commissioner for Patents
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.97(b)**

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56, Applicant(s)
hereby submits the following information in conformance with 37 C.F.R. §§1.97 and 1.98.

- ☒ Pursuant to 37 C.F.R. §1.98, copies of documents C10-C14 cited in the attached Form PTO/SB/08A is enclosed.
- ☒ Pursuant to the U.S. Patent and Trademark Office's waiver of 37 C.F.R. §1.98(a)(2)(i) for applications filed after June 30, 2003, no copies of U.S. patents and patent applications cited in the attached Form PTO/SB/08 are being provided.
- ☒ No copies of documents B1 and C1-C9 listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in prior Application Serial No. 10/251,305, filed September 20, 2002 to which the above-identified application claims priority under 35 U.S.C. §120.
- ☐ Publication(s) ___ listed on the attached Form PTO/SB/08A were cited in a foreign search or examination report corresponding to ___ application serial no. ___ and mailed on ___.
- ☐ Enclosed is a copy of a non-English publication(s) ___. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s).
- ☐ Enclosed is an English translation of non-English publication(s) ___ cited in the attached Form PTO/SB/08A.

[X] The Examiner's attention is directed to co-pending patent Application Serial No. 11/034,054, filed on January 13, 2005, Application Serial No. 11/076,891, filed on March 11, 2005, Application Serial No. 11/076,893, filed on March 11, 2005, and Application Serial No. 11/076,892, filed on March 11, 2005, 2005, which are directed to related technical subject matter. The identification of this U.S. Patent Application is not to be construed as a waiver of secrecy as to that application now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination of the present application.

This Information Disclosure Statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing of a final action under 37 C.F.R. § 1.113; a notice of allowance under 37 C.F.R. § 1.311; or an action that otherwise closes prosecution in this application.

In accordance with 37 C.F.R. § 1.97(c) also enclosed is:

[X] Fee under 37 C.F.R. § 1.17(p) in the amount of \$180.00; or

☐ Statement as specified in 37 C.F.R. § 1.97(e):

☐ Each item of information contained in the Information Disclosure Statement cited herein was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or

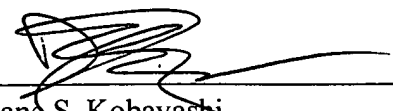
☐ No item of information contained in the Information Disclosure Statement submitted herewith was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, having made a reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing date of the Information Disclosure Statement.

It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08A to the undersigned.

Respectfully submitted,

Dated: 5/23/05

By:



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PTO/SB/08A (08-00)

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	10/829,448
Filing Date	4/22/2004
First Named Inventor	ROBINSON
Group Art Unit	3621
Examiner Name	Pierre Elisca
Attorney Docket Number	U017 (BPAY.0010010)

Sheet	1	of	4
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U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-YYYY
		Number	Kind Code (if known)		
	A1	20040215565		Huffman	10-2004
	A2	20040158524		Anderson et al.	08-2004
	A3	20040155101		Royer et al.	08-2004
	A4	20040088232		Minnis, JR.	05-2004
	A5	20040083172		Wiederin	04-2004
	A6	20040020982		Hoffman et al.	02-2004
	A7	20030209599		Gatto	11-2003
	A8	20030144956		Yu et al.	07-2003
	A9	20030105725		Hoffman	06-2003
	A10	20030018567		Flitcroft et al.	01-2003
	A11	20020173986		Lehew et al.	11-2002
	A12	20020111917		Hoffman et al.	08-2002
	A13	20020046121		Walker, et al.	04-2002
	A14	20010047343		Dahan et al.	11-2001
	A15	20010000535		Lapsley et al.	04-2001
	A16	6,796,492		Gatto	09-2004
	A17	6,792,422		Stride et al.	09-2004
	A18	6,685,088		Royer et al.	02-2004
	A19	6,662,166		Pare et al.	12-2003
	A20	6,651,063		Vorobiev	11-2003
	A21	6,594,376		Hoffman et al.	07-2003
	A22	6,581,042		Pare et al.	06-2003
	A23	6,567,787		Walker et al.	05-2003
	A24	6,542,874		Walker, Jindal	04-2003
	A25	6,470,322		Walker, et al.	10-2002
	A26	6,415,262		Walker, et al.	07-2002
	A27	6,363,485		Adams et al.	03-2002
	A28	6,334,113		Walker, et al.	12-2001
	A29	6,334,112		Walker, et al.	11-2001
	A30	6,317,723		Walker, et al.	11-2001
	A31	6,230,148		Pare et al.	05-2001
	A32	6,149,055		Gatto	11-2000
	A33	6,105,010		Musgrave	08-2000
	A34	5,930,804		Walker, et al.	10-1999
	A35	5,857,079		Claus et al.	01-1999
	A36	5,546,523		Gatto	08-1996

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T ¹
		Office	Number	Kind Code			
	B1	WO	01/20525	A1	Loyaltyworks, Inc.	03-2001	

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant is to place a check mark here if English language Translation is attached

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	10/829,448
				Filing Date	4/22/2004
				First Named Inventor	ROBINSON
				Group Art Unit	3621
Examiner Name	Pierre Elisca				
Sheet	3	of	4	Attorney Docket Number	U017 (BPAY.0010010)

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	C1	Office of NYS Attorney General Eliot Spitzer. Financial Giant Joins Fight Against Online Gambling. Press Release. http://www.oag.state.ny.us/press/2002/jun/jun14a_02.html . Jun. 2002.	
	C2	Zions Bank. Cards for Any Business Occasion. http://www.zionsbank.com/bank_cards.jsp?leftNav=bf_bfinance&topNav=bfinance .	
	C3	ABSA. Purchasing Credit Card. http://www.absa.co.za/Corporate/0,2999,2210,00.html .	
	C4	Visa U.S.A. Visa Purchasing. http://www.usa.visa.com/corporate/corporate_solutions/payment/visa_purchasing.html?it=c/corporate/corporate_solutions/index%2Ehtml Visa%20Purchasing%20 .	
	C5	University of Wisconsin-Green Bay. Purchasing Department: Purchasing Card. http://www.uwgb.edu/Purchasing/purchasingCard/procurement07.htm .	
	C6	Reference Guides Glossary Terms (Online Glossary Terms and Definitions). Merchant Glossary: Merchant Category Code (MCC) (Merchant Category Code) (MCC) Help). http://glossary.reference-guides.com/Merchant/Merchant_Category_Code_MCC/ . 2003.	
	C7	University of Denver. Purchasing Card User Guide. http://www.du.edu/purchasing/purcard.html#2.%20HOW%20DOES%20THE%20CARD%20WORK? .	
	C8	Williams College Controller's Office. Purchasing Card Procedures. http://www.williams.edu/admin/controller/pcard.html#whatis . Jan. 2005	
	C9	Arizona State University. The Purchasing Card: A Guide for Users. http://www.asu.edu/purchasing/pdf/purchcard.pdf . Jan. 2005	
	C10	Video Insight. http://www.video-insight.com/dvr221.htm	
	C11	TMCnet. Cernium Installs Perceptrak Behavior Recognition Software In Public Parking Garage In Yonkers. http://www.tmcnet.com/usubmit/2003/Dec/1021669.htm . Dec. 2003	

Examiner Signature		Date Considered	
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				First Named Inventor	ROBINSON
				Group Art Unit	3621
				Examiner Name	Pierre Elisca
Sheet	4	of	4	Attorney Docket Number	U017 (BPAY.0010010)

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ³	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ¹
	C12	City of Aspen. Parking. http://www.aspenpitkin.com/depts/61/payanddisplay.cfm	
	C13	SmartCity. SmartCity Card Solutions. http://www.coinamatic.com/coinamatic_group/html/apartment_laundry_services/smartcity/Products/p4.html	
	C14	TranCore. TransCore Access Control System First to Successfully Combine Biometrics and RFID. http://www.transcore.com/news/news050314.htm . Mar. 2005	

Examiner Signature	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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